



DEPARTMENT OF THE NAVY
OFFICE OF NAVAL RESEARCH
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ARLINGTON, VA 22217-5660

IN REPLY REFER TO
ONRINST 3900.36
36

1 August 1994

ONR INSTRUCTION 3900.36

From: Chief of Naval Research

Subj: NAVY SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM (STIP)

Ref: (a) SECNAVINST 3900.43A
(b) DoD Directive 3200.12 of 15 Feb 83
(c) DoD Regulation 3200.12-R-1 of Aug 83, Research and Technology Work Unit Information System Regulation
(d) DoD Regulation 3200.12-M-1 of Aug 84, Research and Technology Work Unit Information System Manual
(e) SECNAVINST 3900.29C

Encl: (1) Guidelist for Management Controls

1. Purpose. To implement references (a) and (b) and further define management responsibilities within the Department of the Navy (DON) for implementation of the Department of Defense (DoD) STIP.

2. Applicability and Scope. This instruction applies to all DON research, development, test, and evaluation organizations as identified in reference (a) for the purpose of STIP.

3. Selected Definitions

a. Document. Any recorded information regardless of its medium, physical form, or characteristics.

b. Technical Document. Any document that presents Scientific and Technical Information (STI).

c. Technical Report. Any preliminary or final technical document prepared to record, document, or share results obtained from, or recommendations made on, or relating to, DoD-sponsored or co-sponsored scientific and technical work.

d. Scientific and Technical Information (STI). Communicable knowledge or information resulting from, or pertaining to, the conduct and management of DoD research, development, test, and evaluation (RDT&E) efforts. STI is used by administrators, managers, scientists, and engineers engaged in scientific and technological efforts and is the basic intellectual resource for and result of such effort.

e. Scientific and Technical Information Program (STIP). A coordinated structure of DoD STI functions operated or administered by the Military Departments and Defense Agencies under the overall policy direction and control of the Under Secretary of Defense for Acquisition (USDA) (further delegated to the Chief of Naval Research (CNR) by reference (a)). The objectives of the STIP are to: (1) ensure that STI generated by RDT&E programs provides maximum contribution to the advancement of science and technology; (2) permit timely, effective, and efficient control of the DoD RDT&E programs; (3) provide information support to the management of RDT&E-related programs; and, (4) eliminate unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of STI.

f. RDT&E Work Unit. The smallest segment into which research or technology efforts are divided for local administration or control. Each work unit has a specific objective, finite duration, and results in an end product. It is technically distinct in scope, objective, and duration from other research or technology efforts with which it may be aggregated for either financial, administrative, or contracting purposes.

4. DoD STI Policy

a. As outlined in more detail by reference (b), "The DoD STIP program includes reproduction and dissemination of, and access to, scientific and technical documents; conduct of technical meetings and symposia; management of scientific and technical libraries, technical information centers, information analysis centers (IACs), and technical information data systems; application of information and decision-support systems to managing RDT&E and study programs; and conduct of programs to explore and apply advanced techniques and technologies to STI processes."

b. The overriding priority of the DoD STIP is to ensure timely and effective exchange among DoD RDT&E and study performers and managers of all STI generated by, or relevant to, the pursuit of DoD RDT&E programs. The DoD STIP provides for interchange of STI within and among DoD components, their contractors, and the national and international scientific and technical community--taking into account both security

requirements and access restrictions. Maximum use will be made of existing organizations, such as the Defense Technical Information Center (DTIC) and IACs, to produce a coherent program providing maximum sharing of data and resources and effective service to all bona fide users of DoD STI. Additional DoD STI goals include:

- (1) Improving existing services using the latest available technology.
- (2) Providing maximum participation and compatibility among information programs of disparate DoD components.
- (3) Avoiding unnecessary duplication of research effort.

c. The DoD STIP operates as a coordinated structure of generally decentralized activities under the policy direction of the USDA. DTIC provides the centralized focus for most DoD STIP activity, including document access and dissemination, data base and reference services, and as both a direct information system and data base support for USDA.

5. DON STI Policy

a. As an integral part of the DoD STIP, the DON STIP ensures that the STI generated by RDT&E programs is used to advance naval, DoD, and national RDT&E efforts. This continuing exchange of Navy STI helps eliminate needless duplication of effort, improve management efficiency, and support STI needs of scientists, engineers, and managers alike. Reliable research results often require pre-planned, repetitive testing to demonstrate reliability.

b. The principal objective of the DON STIP is to improve the processing, dissemination, application, and retention of Navy STI. This process requires the latest available technologies deemed cost-effective, as well as maximum participation in, and compatibility with, STI programs of DoD activities, other Federal agencies, and the private sector.

c. The overriding priority for the DON STIP is ensuring that all STI generated by, or relevant to, Navy RDT&E programs is exchanged rapidly and effectively among Navy, other DoD managers, Navy contractors and potential contractors within security constraints. Per official clearance procedures, the DON releases STI for public use through assigned Federal agencies. DON STI must be archived properly to insure both retention of, and access to, vital data and information.

d. Under this overall policy, three specific actions form the basis for the DON STIP:

(1) All applicable DTIC data bases shall be reviewed prior to the initiation or funding of any new Navy RDT&E effort, whether performed in-house or through a Federal Acquisition Regulation contract, cooperative agreement, grant, study, Small Business Innovative Research project, or Domestic Technology Transfer Cooperative Research and Development Agreement under the provisions of the Federal Technology Transfer Act of 1986.

(2) A work unit reporting the initiation or funding of any of the Navy RDT&E efforts listed above shall be recorded and submitted in a timely manner to DTIC per references (b), (c), and (d). In addition, all work unit summaries shall be updated whenever there is a major change in work; upon completion, cancellation, or termination of work; or, in any event, at least annually following initial submission.

(3) Upon completion, termination, or cancellation of any Navy RDT&E work unit or group of closely-related units, a scientific/technical report, or termination notice, shall be prepared by the responsible investigator. This report will be recorded on Standard Form 298 (Report Documentation Page) per reference (e); both the report and the Standard Form 298 should be forwarded to DTIC promptly. Final reports may be in the format of journal articles, proceedings, slide presentations, videos, software, optical and other disk devices, or other applicable newly emerging media, and when approved as such by the command responsible for the report. If a final report is available in more than one form or medium, one copy of each different example should be submitted to DTIC. Journal articles, proceedings, slide presentations, film, videos, optical software, or other new media may be submitted as a final report where appropriate. In the case of termination of a work unit, a letter report may substitute for the final report.

6. Responsibilities

a. Per reference (a), the CNR is the responsible agent for managing the DON STIP.

b. Reference (a) directs that Heads of DON components comply with the DON STIP. Responsibilities include the actions cited in paragraphs 5d(1), 5d(2), and 5d(3), with particular attention given to ensuring that all RDT&E funding is accounted for appropriately.

7. Action

a. The Office of Naval Research (ONR) Industrial Programs Department (ONR 36), as the CNR's designee, shall oversee the DON STIP per paragraph C2 of enclosure (2) to reference (b), including monitoring of DON component compliance identified in

paragraph 6b above. Monitoring shall include reconciliation between individual DON component receipt of RDT&E funding and related reporting and periodic summary reports from DTIC on DON component submissions. Supplemental guidance and reporting formats shall be developed and provided to command DON STIP focal points as required. ONR 36 will utilize enclosure (1) to aid in assessment of management controls for the DON STIP. ONR Special Assistant for Laboratory Fiscal Management (ONR 08C), shall provide to ONR 36 the budgetary/financial information related to individual DON component receipt of RDT&E funding, as indicated above.

b. Department of the Navy contracting activities shall ensure that DTIC is included in the final technical report distribution by (1) including a requirement in all contracts and grants for research and development that awardees shall certify to the cognizant Administrative Contracting Officer that the final technical report was submitted to DTIC and (2) monitor compliance with this certification requirement for awardees as a special interest item during periodic Procurement Management Reviews.

c. DON Echelon 1 and 2 Commands shall review and report compliance with this instruction during command inspections of subordinate activities that conduct or manage RDT&E work performed as in paragraphs 5d(1), 5d(2), and 5d(3).

d. Heads of DON components shall:

(1) Implement the DON STIP.

(2) Establish procedures to ensure the three actions cited in paragraphs 5d(1), 5d(2), and 5d(3).

(3) Designate at least one STIP Focal Point for each command/activity. Forward the name, address, telephone and fax numbers of each STIP Focal Point to the Chief of Naval Research, ONR 36 within 30 days of receipt of this instruction. Notify ONR 36 within 30 days of subsequent changes in STIP Focal Point(s).

(4) STIP Focal Points shall:

(a) Serve as primary point of contact at their command/activity for STIP matters,

(b) Monitor the review of applicable DTIC data bases by scientific officers prior to initiating new efforts, in order to prevent duplication or undesirable overlap with either prior or on-going studies or RDT&E work elsewhere within DoD as indicated in paragraph 5d,

(c) Monitor all new and on-going RDT&E work to insure that new start information, updated work units, progress reports, termination work unit reports, and technical reports on completed work units or programs are forwarded promptly to DTIC per references (b), (c), and (d) and paragraph 5d of this instruction.

(d) Report semiannually to the CNR (Attn: ONR 36) on the command's compliance with (b) and (c) above.

8. Report. The reporting requirements contained in paragraph 7d(4)(d) are exempt from reports control by SECNAVINST 5214.2B.


MARC PELAEZ
Rear Admiral, USN

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GUIDELIST - ONRINST 3900.36

1. Function, Program, or Assessable Unit: _____

2. List all higher level and local applicable instructions, guidance and/or standard operation procedures by number, title, and date.

a. Is all implementing guidance current?

(1) _____ (2) _____

3. List the steps, processes, and controls necessary to accomplish the functional responsibilities of the assessable unit.

a. Do the position descriptions of employees coincide with the work actually being done by them?

(1) _____ (2) _____

b. Have all employees been exposed to TQL training?

(1) _____ (2) _____

c. Are the incumbent employees competent to hold their positions by virtue of education and/or training?

(1) _____ (2) _____

d. Do all employees have qualified and continuous supervision?

(1) _____ (2) _____

e. Do managers and employees maintain and demonstrate a positive and supportive attitude toward management controls at all times?

(1) _____ (2) _____

f. Are key duties and responsibilities in authorizing, processing, recording and reviewing transactions separated among individual employees and managers?

(1) _____ (2) _____

g. Are managers and/or employees acting within the scope of their authority when they authorize transactions and execute their duties?

(1) _____ (2) _____

h. Is access to government resources and records limited to authorized individuals and/or is there a system of accountability (inventory) for the custody and use of resources?

(1) _____ (2) _____

i. Are regular inventories required by management and/or regulation?

(1) _____ (2) _____

j. Are inventories accomplished at the required frequency?

(1) _____ (2) _____

k. Has an appropriate system of recording transactions and other significant events been established ?

(1) _____ (2) _____

l. Are all transactions and significant events recorded promptly and classified properly, i.e., is the system adequate?

(1) _____ (2) _____

m. Is all current documentation readily available for examination by persons outside the organization?

(1) _____ (2) _____